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PATENT

ATTORNEY DOCKET NO. 50110/004002

Certificate of Mailing: Date of Deposit: <u>February 15, 2001</u>	
I hereby certify under 37 CFR 1.8(a) that this correspondence is being deposited with the United States Postal Service as <b>first class mail</b> with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.	
<u>Moya Kinnealey</u>	<u>Moya Kinnealey</u>
Printed name of person mailing correspondence	Signature of person mailing correspondence

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Michael R. Hayden et al.	Art Unit:	1616
Serial No.:	09/654,323	Examiner:	
Filed:	September 1, 2000	Customer No.:	21559
Title:	Compositions and Methods for Modulating HDL Cholesterol and Triglyceride Levels		

Assistant Commissioner For Patents  
Washington, D.C. 20231

PETITION TO CORRECT FILING RECEIPT

Applicant requests that the attached filing receipt be corrected as follows.

Under Total Claims, replace "72" with --99--. Applicants note that the application contains claims 1-79. Because some of the claims are multiply dependent and thus count as more than one claim, the total claim count for this application is 99.

Under Continuing Data as Claimed by Applicant, replace "THIS APPLICATION IS A CON OF 09/526,193" with

--THIS APPLICATION CLAIMS BENEFIT OF 60/213,958 06/23/2000

AND IS A CIP OF 09/526,193 03/15/2000,

WHICH CLAIMS BENEFIT OF 60/151,977 09/01/1999; 60/139,600 06/17/1999;

60/138,048 06/08/1999; AND 60/124,702 03/15/1999.--

A copy of the transmittal with this priority information is enclosed.

A copy of the incorrect filing receipt is also enclosed.

If there are any charges, or any credits, please apply them to Deposit Account No.

03-2095.

Respectfully submitted,

Date: \_\_\_\_\_

*Feb. 15, 2001*

*[Signature]*  
Paul T. Clark  
Reg. No. 30,162

Clark & Elbing LLP

176 Federal Street

Boston, MA 02110

Telephone: 617-428-0200

Facsimile: 617-428-7045

\\Ntserver\documents\50110\50110.004002 Pet. Correct OFR for 2.14.01.wpd



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21559

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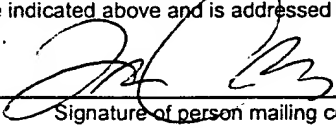
Date of Deposit September 1, 2000

Label Number: EL509050555US

I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to: BOX PATENT APPLICATION, Commissioner for Patents, Washington, D.C. 20231.

Luis A. Cruz

Printed name of person mailing correspondence

  
Signature of person mailing correspondence

UTILITY PATENT APPLICATION TRANSMITTAL UNDER 37 CFR §1.53(b)

Attorney Docket Number	50110/004002
Applicant	Michael R. Hayden, Angela R. Brooks-Wilson, Simon N. Pimstone, and Susanne M. Clee
Title	COMPOSITIONS AND METHODS FOR MODULATING HDL CHOLESTEROL AND TRIGLYCERIDE LEVELS
<b>PRIORITY INFORMATION:</b>	
This application is a continuation-in-part of and claims priority from United States patent application 60/124,702, filed March 15, 1999; 60/138,048, filed June 8, 1999; 60/139,600, filed June 17, 1999, 60/151,977, filed September 1, 1999; 09/526,193, filed March 15, 2000; and 60/213,958 filed June 23, 2000.	
<b>APPLICATION ELEMENTS:</b>	
Cover sheet	1 page
Specification	105 pages
Claims	19 pages
Abstract	1 page
Drawing	86 sheets
Combined Declaration and POA, which is: <input checked="" type="checkbox"/> Unsigned; <input type="checkbox"/> Newly signed for this application; <input type="checkbox"/> A copy from prior application [ <b>**SERIAL NUMBER**</b> ] and the entire disclosure of the prior application is considered as being part of the disclosure of this new application and is hereby incorporated by reference therein.	3 pages
Statement Deleting Inventors	0 pages
Sequence Statement	2 pages
Sequence Listing on Paper	108 pages
Sequence Listing on Diskette	1 disk



Small Entity Statement, which is: <input checked="" type="checkbox"/> Unsigned; <input type="checkbox"/> Newly signed for this application; <input type="checkbox"/> A copy from prior application [**SERIAL NUMBER**] and such small entity status is still proper and desired.	2 pages	<b>RECEIVED</b> JUN 25 2001 TECH CENTER 1600/2900
Preliminary Amendment	0 pages	
IDS	0 pages	
Form PTO 1449	0 pages	
Cited References	0 references	
Recordation Form Cover Sheet and Assignment	0 pages	
Assignee's Statement	0 pages	
English Translation	0 pages	
Certified Copy of Priority Document	0 pages	
Return Receipt Postcard	1	
<b>FILING FEES:</b>		
Basic Filing Fee: \$345		\$345.00
Excess Claims Fee: 99 - 20 x \$9		\$711.00
Excess Independent Claims Fee: 45 - 3 = 42 x \$39		\$1638.00
Multiple Dependent Claims Fee: \$260/\$130		\$0
Total Fees:		\$2694.00
<input checked="" type="checkbox"/> Enclosed is a check for \$2694.00 to cover the total fees. <input type="checkbox"/> Charge [**AMOUNT**] to Deposit Account No. 03-2095 to cover the total fees. <input type="checkbox"/> The filing fee is not being paid at this time. <input checked="" type="checkbox"/> Please apply any other charges, or any credits, to Deposit Account No. 03-2095.		
<b>CORRESPONDENCE ADDRESS:</b>		
Paul T. Clark Reg. No. 30,162 Clark & Elbing LLP 176 Federal Street Boston, MA 02110		Telephone: 617-428-0200 Facsimile: 617-428-7045
Signature <u>Susan M. Michael</u> Susan M. Michael Reg. No. 42,255		Date <u>September 1, 2000</u>



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Page 1 of 4

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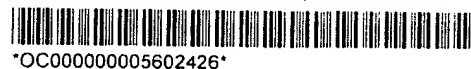
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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/654,323	09/01/2000	1616	3810	50110/004002	86	<del>99</del>	43

Paul T Clark  
Clark & Elbring LLP  
176 Federal Street  
Boston, MA 02110

FILING RECEIPT



\*OC000000005602426\*

Date Mailed: 12/07/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**Michael R. Hayden, Vancouver, CANADA;  
Angela R. Brooks-Wilson, Richmond, CANADA;  
Simon N. Pimstone, Vancouver, CANADA;  
Susanne M. Clee, Vancouver, CANADA;**Continuing Data as Claimed by Applicant**~~THIS APPLICATION IS A CONT OF 09/526,193~~→ replace with priority information  
on enclosed transmittal**Foreign Applications**

If Required, Foreign Filing License Granted 10/19/2000

**\*\* SMALL ENTITY \*\*****Title**

Compositions and methods for modulating HDL cholesterol and triglyceride levels

**Preliminary Class**

424

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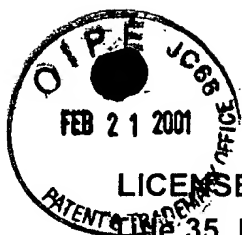
CLARK &amp; ELBRING

Data entry by : WHITE, JACKIE

Team : OIPE

Date: 12/07/2000





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**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

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**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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 Customer Service Center  
 Washington, DC 20231







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WASHINGTON, D.C. 20231  
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Bib Data Sheet

CONFIRMATION NO. 5878

<b>SERIAL NUMBER</b> 09/654,323	<b>FILING DATE</b> 09/01/2000 <b>RULE</b>	<b>CLASS</b> 435	<b>GROUP ART UNIT</b> 1655	<b>ATTORNEY DOCKET NO.</b> 50110/004002
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## APPLICANTS

Michael R. Hayden, Vancouver, CANADA;  
Angela R. Brooks-Wilson, Richmond, CANADA;  
Simon N. Pimstone, Vancouver, CANADA;  
Susanne M. Clee, Vancouver, CANADA;

## \*\* CONTINUING DATA \*\*\*\*\*

THIS APPLN CLAIMS BENEFIT OF 60/213,958 06/23/2000  
AND A CIP OF 09/526,193 03/15/2000  
WHICH CLAIMS BENEFIT OF 60/151,977 09/01/1999  
WHICH CLAIMS BENEFIT OF 60/139,600 06/17/1999  
WHICH CLAIMS BENEFIT OF 60/138,048 06/08/1999  
AND CLAIMS BENEFIT OF 60/124,702 03/15/1999

## \*\* FOREIGN APPLICATIONS \*\*\*\*\*

IF REQUIRED, FOREIGN FILING LICENSE GRANTED \*\* SMALL ENTITY \*\*

\*\* 10/19/2000

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	<b>STATE OR COUNTRY</b> CANADA	<b>SHEETS DRAWING</b> 86	<b>TOTAL CLAIMS</b> 99	<b>INDEPENDENT CLAIMS</b> 43
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature	Initials		

## ADDRESS

Paul T Clark  
Clark & Elbring LLP  
176 Federal Street  
Boston, MA 02110

## TITLE

Compositions and methods for modulating HDL cholesterol and triglyceride levels

<b>FILING FEE RECEIVED</b> 2955	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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